

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Douglas C. Elliott

Art Unit: 1621

Application No. 09/851,678

CERTIFICATE OF MAILING

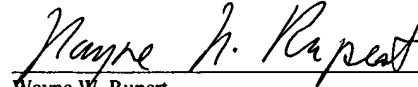
Filed: May 8, 2001

I hereby certify that this paper and the documents referred to as being attached or enclosed herewith are being deposited with the United States Postal Service on October 15, 2002, as First Class Mail in an envelope addressed to: BOX ISSUE FEE, COMMISSIONER FOR PATENTS, WASHINGTON D.C. 20231.

For: PROCESS FOR LACTOSE CONVERSION TO POLYOLS

Examiner: Elvis O. Price

Date: October 15, 2002

Wayne W. Rupert
Attorney for ApplicantTRANSMITTAL LETTER

BOX ISSUE FEE
COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

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Enclosed for filing in the application referenced above are the following:

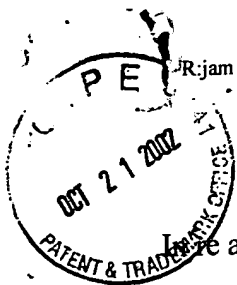
- ☒ Issue Fee PTOL-85 (Fees Transmittal) (in duplicate)
 - ☒ \$640.00 Issue Fee
 - ☒ \$300.00 Publication Fee
 - ☒ \$30.00 Fee for Advance Order of 10 Copies
- ☒ Communication Regarding Entity Status with attached Exhibits A and B
- ☒ A check in the amount of \$970.00 to cover the above-listed fees
- ☒ The Director is hereby authorized to charge any additional fees that may be required, or credit over-payment, to Deposit Account No. 02-4550. A copy of this sheet is enclosed.
- ☒ Please return the enclosed postcard to confirm that the items listed above have been received.

Respectfully submitted,

KLARQUIST SPARKMAN, LLP

By Wayne W. Rupert
Registration No. 34,420

One World Trade Center, Suite 1600
121 S.W. Salmon Street
Portland, Oregon 97204
Telephone: (503) 226-7391
Facsimile: (503) 228-9446



PR:jam 10/15/02 146950

PATENT
Attorney Reference Number: 23-56420

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor application of: Douglas C. Elliott

Art Unit: 1621

Application No.: 09/851,678

Filed: May 8, 2001

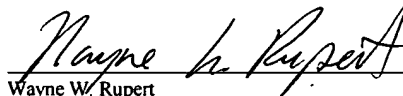
For: PROCESS FOR LACTOSE CONVERSION
TO POLYOLS

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Wayne W. Rupert
Attorney for Applicant

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COMMUNICATION REGARDING ENTITY STATUS

Applicant notes that Form PTOL-85 requires payment of a large entity issue fee. Attached hereto as Exhibit A is a copy of the original Transmittal Letter indicating that small entity status was claimed for the above-identified patent application. Attached as Exhibit B is a copy of the filing receipt indicating that small entity status was recorded for applicant in the U.S. Patent and Trademark Office records for the application.

The undersigned is unaware of any further transfer of rights which would affect applicant's small entity status. Therefore, applicant should be entitled to pay small entity fees as evidenced by Exhibits A and B, and small entity status is reconfirmed and claimed.

Respectfully submitted,

KLARQUIST SPARKMAN, LLP

By 
Wayne W. Rupert
Registration No. 34,420

One World Trade Center, Suite 1600
121 S.W. Salmon Street
Portland, Oregon 97204
Telephone: (503) 226-7391
Facsimile: (503) 228-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Transmitted herewith for filing is the patent application of:

Inventor(s): Douglas C. Elliott

For: PROCESS FOR LACTOSE CONVERSION TO POLYOLS

Enclosed are:

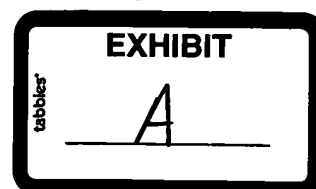
- ☒ 15 pages of specification, 7 pages of claims, an abstract and a Combined Declaration and Power of Attorney.
- ☒ An assignment of the invention to: Battelle Memorial Institute, a Recordation Cover Sheet, and the Recordal fee of \$40.00.
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449 and copies of documents listed thereon.

CLAIMS AS FILED					
For	Claims Filed	Number Free	Number Extra	Rate	Basic Fee
					\$355.00
Total Claims	45	20	= 25	\$9.00	\$ 225.00
Independent Claims	6	3	= 3	\$40.00	\$ 120.00
Multiple Dependent Claim Fee				\$135.00	\$0.00
TOTAL FILING FEE					\$700.00

- ☒ Assignee for this application is or will be Battelle Memorial Institute, and applicant requests that this information be listed on the published application.
- ☒ Small entity status is claimed for this application.
- ☒ A check in the amount of \$740.00 to cover ☒ filing fee and ☒ assignment recordal fee is enclosed.

EL 754019928US

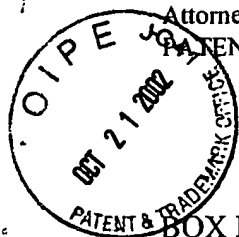
TRANSMITTAL - Page 1 of 2



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WR:gte 05/08/01 49719.doc
Attorney Reference Number 23-56420
PATENT

EXPRESS MAIL NO. EL754019928US
DATE OF DEPOSIT: May 8, 2001

- ☒ The Director is hereby authorized to charge any additional fees that may be required in connection with the filing of this application and recording any assignment filed herewith, or credit over-payment, to Account No. 02-4550. A copy of this sheet is enclosed.
- ☒ Please return the enclosed postcard to confirm that the items listed above have been received.

Respectfully submitted,

KLARQUIST SPARKMAN CAMPBELL
LEIGH & WHINSTON, LLP

By Wayne W. Rupert
Wayne W. Rupert
Registration No. 34,420

One World Trade Center, Suite 1600
121 S.W. Salmon Street
Portland, Oregon 97204
Telephone: (503) 226-7391
Facsimile: (503) 228-9446

cc: Docketing



PART B - FEE(S) TRANSMITTAL

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Complete and send this form, together with applicable fee(s), to: **Mail** Box ISSUE FEE
Commissioner for Patents
Washington, D.C. 20231
Fax (703)746-4000

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

7590

08/13/2002

KLARQUIST SPARKMAN CAMPBELL LEIGH
AND WHINSTON, LLP
121 SW Salmon Street, Suite 1600
Portland, OR 97204-2988

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above, or being facsimile transmitted to the USPTO, on the date indicated below.

Wayne W. Rupert

(Depositor's name)

Wayne W. Rupert

(Signature)

October 15, 2002

(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/851,678	05/08/2001	Douglas Charles Elliott	23-56420	3245

TITLE OF INVENTION: PROCESS FOR LACTOSE CONVERSION TO POLYOLS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1230 \$640.00	\$300	\$1530 \$940.00	11/13/2002
EXAMINER		ART UNIT	CLASS-SUBCLASS		
PRICE, ELVIS O		1621	568-863000		

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

Klarquist Sparkman, LLP

2 _____

3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Battelle Memorial Institute

Richland, Washington

Please check the appropriate assignee category or categories (will not be printed on the patent)

☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

4b. Payment of Fee(s):

☒ Issue Fee☒ A check in the amount of the fee(s) is enclosed.☒ Publication Fee☐ Payment by credit card. Form PTO-2038 is attached. additional☒ Advance Order - # of Copies _____☒ The Commissioner is hereby authorized by charge ~~of the deposit~~ fee(s), or credit any overpayment, to Deposit Account Number 02-4550 (enclose an extra copy of this form).

Commissioner for Patents is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signature)

(Date)

Wayne W. Rupert

October 15, 2002

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

10/22/2002 JBALINA2 00000054 09851678

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640.00 OP

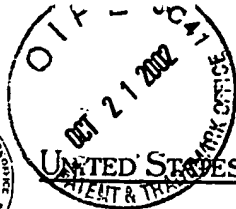
02 FC:1504

300.00 OP

03 FC:8001

30.00 OP

TRANSMIT THIS FORM WITH FEE(S)



UNITED STATES PATENT AND TRADEMARK OFFICE

Battelle Pacific/WK
 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/851,678	05/08/2001	1621	700	23-56420		45	6

CONFIRMATION NO. 3245

FILING RECEIPT



OC000000006270711

KLARQUIST SPARKMAN CAMPBELL LEIGH
 AND WHINSTON, LLP
 121 SW Salmon Street, Suite 1600
 Portland, OR 97204-2988

Date Mailed: 07/09/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Douglas Charles Elliott, Richland, WA;

Assignment For Published Patent Application

Battelle Memorial Institute;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 07/07/2001

Projected Publication Date: 11/14/2002

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

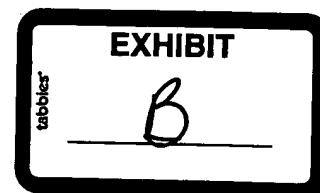
Title

Process for lactose conversion to polyols

Provisional Class

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PREVIOUSLY COINDEXED



568

Data entry by : NGUYEN, TRAC

Team : OIPE

Date: 07/09/2001



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231